

CALIFORNIA INTEGRATED WATER QUALITY SYSTEM DOCUMENT MANAGEMENT STANDARD OPERATING PROCEDURE

1.0 PURPOSE

This standard operating procedure (SOP) describes the processes used to create, approve, maintain, revise, and archive controlled California Integrated Water Quality System (CIWQS) documents. This ensures controlled documents are maintained, retired, and replaced through a formal process. Controlled documents are defined as formal, written procedures, policies, or processes that prescribe the approved methods of implementing CIWQS business practices. Controlled CIWQS documents that must follow the Document Management Standard Operating Procedure (SOP) include business rules, business processes, SOPs, workbooks, governance structure, and Quality Assurance Plan (QAP). This SOP is not applied retroactively.

2.0 RESPONSIBILITIES

A CIWQS staff member creates or modifies a controlled document as necessary. The CIWQS staff member then obtains the necessary approvals, which vary depending upon the document type (see below). Until a controlled document is fully approved, the CIWQS staff member that initiated the document creation or modification is responsible for tracking drafts and revisions, unless this responsibility has been delegated. The CIWQS Document Coordinator is responsible for the proper posting of approved, draft (if requested by initiator; not required), and historical controlled documents and maintaining the controlled CIWQS documents webpage on the intranet. The CIWQS Document Coordinator is also responsible for properly posting current versions of workbooks created for external users (dischargers) to the State Water Resources Control Board's (State Water Board's) internet website. The State Water Board and Regional Water Quality Control Boards (Regional Water Boards) are required to follow the current version of controlled CIWQS documents when conducting business involving CIWQS. It is the responsibility of individual staff members to routinely check the controlled CIWQS documents webpage on the intranet for updated policies and procedures regarding CIWQS business practices.

3.0 PROCEDURE

There are certain procedures that are relevant to all controlled CIWQS documents. As appropriate, less formal program documents can adopt some or all of the document management systems listed below:

Approval: The requisite level of approval necessary for each type of controlled CIWQS document, that is newly created or modified from the previous version, is presented below (approvals must be obtained in the order listed):

Business Process – Business Rules Team (BRT), CIWQS Quality Assurance (QA) Lead, Statewide CIWQS Coordinator

Business Rule – BRT, CIWQS QA Lead, Statewide CIWQS Coordinator

Governance Structure – document initiator, CIWQS Executive Committee, Management Coordinating Committee (MCC)

QAP – document initiator, CIWQS QA Lead, Statewide CIWQS Coordinator, BRT, Director of the State Water Board's Office of Information Management and Analysis (OIMA)

SOP – document initiator, CIWQS QA Lead, Statewide CIWQS Coordinator, BRT, Director of OIMA

Training Program – document initiator, Statewide CIWQS Coordinator, BRT, Director of OIMA

Workbook (discharger) – document initiator, Statewide CIWQS Coordinator, external user group for related module (e.g., electronic self monitoring report or sanitary sewer overflow)

Workbook (State and Regional Water Board staff) – document initiator, CIWQS QA Lead, Statewide CIWQS Coordinator, BRT

Approval by groups or committees is obtained by reviewing the document as an agenda item at a meeting of the standing members.

Once fully approved as evidenced by all requisite signatures being present, the original document and an unapproved electronic copy are then forwarded to the CIWQS Document Coordinator for proper posting.

Maintenance: All CIWQS documents must be reviewed within twelve months of last approval by the QA Lead or the Statewide CIWQS Coordinator. If no changes are required, the reviewer indicates in the footer that there was no modification from the previous version and increments the version number in the heading by 1, signs, and dates the document. No other approvals are necessary. The new revision is then forwarded to the CIWQS Document Coordinator for proper posting.

If changes are required, the appropriate employee is designated to make the required revisions. All changes to the document must be briefly explained in a footnote. The new revision of the document must then go through the approval process described above. The old revision is retired. Where appropriate, the CIWQS QA Lead or Statewide CIWQS Coordinator may post an erratum to identify changes.

Retirement: When a controlled CIWQS document is retired (for example, due to being superseded by a newer version), all copies should be destroyed. An electronic original is then archived as a historical record for no less than three years.

Storage/Posting: All current versions of controlled CIWQS documents must be stored in PDF format on an intranet webpage specifically designed and maintained to facilitate easy access by staff. They will be separated into Draft, Active, and Historical folders. Once documents are approved, draft copies will be deleted.

Additionally, current versions of workbooks created to assist external users (dischargers) must be stored in PDF format on the State Water Board's internet website for easy access by external users. Draft and historical versions of these workbooks will not be posted on the State Water Board's internet website to avoid confusion on behalf of external users.

To facilitate the updating of controlled CIWQS documents, an electronic copy of all current versions of controlled documents in their native application format (e.g., Microsoft Word) must be stored by the CIWQS Document Coordinator in a State Water Board network folder. A document initiator can request this version of a document from the CIWQS Document Coordinator when modifications are necessary. This format will enable staff to more easily modify controlled documents as opposed to utilizing the PDF format version generally available on the intranet.

In addition to the above universal protocols, other document management requirements, which are document-specific, may exist. Details about the management of these documents can be found in their respective SOP.

4.0 DOCUMENTATION

Controlled CIWQS documents must follow the formatting standards discussed below:

Header: The header of each page must contain the document title, version number, and pagination in the "Page X of Y" format. An example is seen at the top of each page of this document. When revising documents created prior to the approval date of this SOP, the version number must default to 1.

Approval Signature(s): All required signatures must be documented in an approval section at the end of each document. The prescribed format for the approval section is that of the approval section included in this SOP. For group or committee approvals, use "Committee Members Present" as the printed name, "Approved as Meeting Agenda Item" as the signature, and the date of the meeting when the document was reviewed/approved as the "Date".

Identification of Draft Documents: On each page, drafts must be clearly identified as such using a watermark or other notification.

Identification of Historical Documents: On each page, historical versions of controlled documents must be clearly identified as such using a watermark or other notification. The CIWQS Document Coordinator is responsible for modifying retired documents in this manner before posting on the intranet.

5.0 CORRECTIVE ACTION



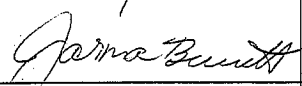
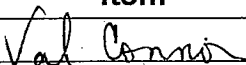
If routine reviews or procedural changes require the modification or replacement of a controlled document, re-approval must be obtained according to this SOP.

If an error is discovered during any portion of the approval process, the person who found the error makes a note of it and sends the document back to the original writer. It is the writer's responsibility to address the error and repeat the entire approval process.

6.0 REFERENCES

Corrective Action. California Integrated Water Quality Management System Standard Operating Procedure. October 30, 2007.

Quality Assurance Reports. California Integrated Water Quality Management System Standard Operating Procedure. October 30, 2007.

APPROVAL SECTION			
<u>Approver</u>	<u>Printed Name</u>	<u>Signature</u>	<u>Date</u>
Document Initiator	Eric Maag		12/3/08
CIWQS QA Lead	Eric Maag		12/3/08
Statewide CIWQS Coordinator	Jarma Bennett		12/3/08
BRT	Committee Members Present	Approved as Meeting Agenda Item	12/02/2008
Director of OIMA	Valerie Connor		12/3/08